

MINUTES of the GOVERNANCE COMMITTEE MEETING of the ERIE COUNTY WATER AUTHORITY held in the office, 350 Ellicott Square Building, Buffalo, New York, on the 5th day of April, 2012.

PRESENT: Francis G. Warthling, Chairman
Earl L. Jann, Jr., Vice Chairman
John F. O'Donnell, Treasurer
Robert A. Mendez, Executive Director
Matthew J. Baudo, Secretary to the Authority/Personnel Director
Robert J. Lichtenthal, Jr., Deputy Director
Wesley C. Dust, Executive Engineer
Mark J. Fuzak, Attorney
Ronald P. Bennett, Associate Attorney
Edward A. Betz, Associate Attorney
Karen A. Prendergast, Comptroller
Susan Rinaldo, Cash Manager
Steven V. D'Amico, Budget and Financial Analyst
James R. Lisinski, Director of Employee Relations

ATTENDEES:

CALL TO ORDER

PLEDGE TO THE FLAG

I. - ROLL CALL

II. - READING OF MINUTES

Motion by Mr. O'Donnell seconded by Mr. Jann and carried to waive the reading of the Minutes of the Governance Committee Meeting held on January 26, 2012.

III. - APPROVAL OF MINUTES

Motion by Mr. O'Donnell seconded by Mr. Jann and carried to approve the Minutes of the Governance Committee Meeting held on January 26, 2012.

IV. - REPORTS

A. PARIS Filing

Bob Mendez distributed a draft of the proposed PARIS filing. He proceeded to review this with the Committee.

Motion by Mr. O'Donnell, seconded by Mr. Jann and carried that the PARIS filing be approved at the Authority's Board Meeting.

V. - COMMUNICATIONS AND BILLS

VI. - UNFINISHED BUSINESS

VII. - NEW BUSINESS

VIII. - ADJOURNMENT

Motion by Mr. O'Donnell, seconded by Mr. Jann and carried that the meeting adjourn.



Matthew J. Baudo
Secretary to the Authority/Personnel
Director

SLZ

Erie County Water Authority (0321)

Fiscal Year End Date: 12/31/2011

Status: Unsubmitted

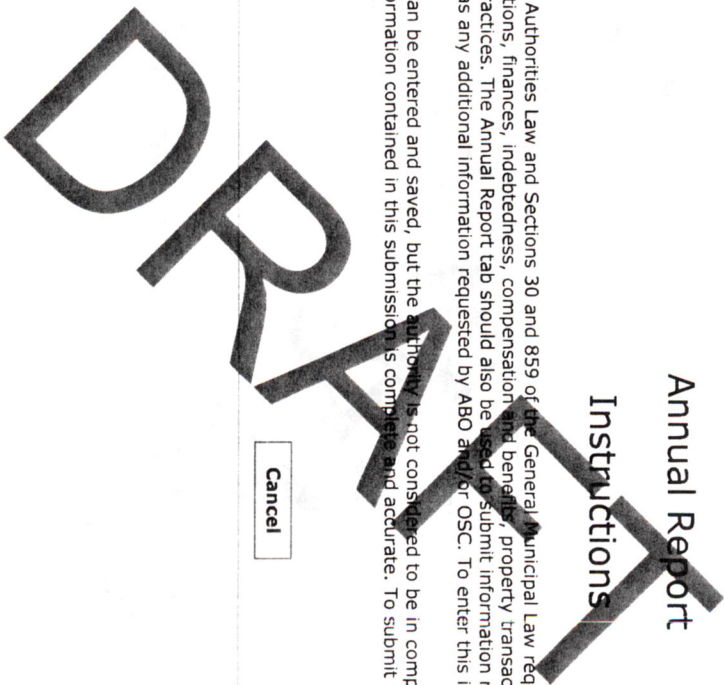
Annual Report

Instructions

Section 2800 of the Public Authorities Law and Sections 30 and 859 of the General Municipal Law require public authorities to file an Annual Report that includes information on their operations, finances, indebtedness, compensation and benefits, property transactions, internal controls and other management activities, policies and governance practices. The Annual Report tab should also be used to submit information required by Sections 2806 (Personnel Schedule) and 2896 (Property Report) as well as any additional information requested by ABO and/or OSC. To enter this information, select from the menu on the left.

The required information can be entered and saved, but the authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate. To submit this information, select and complete the Annual Report Submittal link.

Cancel



VIEW GOVERNANCE INFORMATION (AUTHORITY-RELATED)

Governance Information (Authority-Related) was created successfully.

Current Document List
2 items found, displaying all items.

Action	Document Name	Document Type	Date Attached
View	2011 Annual Report Draft.pdf	Operations/Accomplishments Report	04/03/2012
View	2011 Performance Measurements Report.pdf	Measurements Report	04/03/2012

Operations and Accomplishments

* 1 Has the Authority prepared its annual report on operations and accomplishments for the report period as required by Section 2800 of PAL?
 Yes No
 If Yes, provide the URL link to the document below:

* 2 As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?
 Yes No
 If Yes, provide the URL link to the document below:

* 3 Has the lead audit partner for the independent auditor firm changed in the last five years in accordance with section 2802(4) of PAL?
 Yes No

* 4 Does the independent auditor provide non-audit services to the Authority?
 Yes No

* 5 Does the Authority have an organization chart?
 Yes No
 If Yes, provide the URL link to the document below:

* 6 Are any Authority staff also employed by another government agency?
 Yes No
 If Yes, identify the agency:

Authority Mission Statement

* 7 Has the Authority posted their mission statement to their website?
 Yes No
 If Yes, provide the URL link to the document below:

- 8 Has the Authority's mission statement been revised and adopted during the reporting period?
Yes No

Authority Measurement Report

- 9 Attach the Authority's measurement report, as required by Section 2824-a of PAL and provide the URL.

Authority Measurement Report

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2011 Performance Measurements Review

- 1.a. Affirmation of ECWA credit ratings were done by Standard & Poors in December 2011.
- 2.a. ECWA adopted 2011 "Management by Objectives" on February 14, 2011 and were reviewed in July, 2011 and January, 2012 with senior staff and the Board of Commissioners.
- 2.b. Preparation of a five-year capital was done and reviewed by the Authority's Board of Commissioners in November, 2011
- 3.a. Monthly financial statements of a Balance Sheet, Income Statement and Investment Report were prepared monthly.
- 3.b. Lumdsen & McCormick LLP, an independent audit firm, reviewed and provided a report on the financial statement and expenditures for fiscal year 2011.
- 3.c. Regular reports related to reviewing and monitoring of the operating and capital improvement budgets were reviewed on a monthly basis to allow for the containment of controllable expenses throughout the year.
- 4.a. Budget hearings were held with each department head, Executive Director, the Deputy Director and the Budget Director on October 11, 2011. A final operating and capital budget was reviewed, approved and adopted by the ECWA Board of Commissioners on November 23, 2011.
- 4.b. The Authority continues to participate in various industry wide benchmarking surveys during the fiscal year.
- 4.b. The Authority continues to use the results of its past customer surveys to improve customer service.

- [Governance Information \(Authority-related\)](#)
- [Governance Information \(Board-related\)](#)
- [Board of Directors](#)
- [Staff](#)
- [Benefit Information](#)
- [Subsidiary/Component Unit Verification](#)
- [Summary Financial Information](#)
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- [Property Documents](#)

Governance Information (Board-related)

Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

VIEW GOVERNANCE INFORMATION (BOARD-RELATED)

Governance Information (Board-Related) was created successfully.

- * 1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?
 Yes No
- * 2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?
 Yes No
- * 3. Has the Board established a Finance Committee in accordance with Section 2824(8) of PAL?
 Yes No
- * 4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):
- * 5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?
 Yes No
- * 6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year:
- * 7. Has the Board adopted bylaws and made them available to Board members and staff?
 Yes No

If Yes, provide the URL link to the document below:

* 8. Has the Board adopted a code of ethics for Board members and staff?

Yes No

If Yes, provide the URL link to the document below:

* 9. Does the Board review and monitor the Authority's implementation of financial and management controls?

Yes No

* 10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?

Yes No

* 11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?

Salary and Compensation

Yes No

Time and Attendance

Yes No

Whistleblower Protection

Yes No

Defense and Indemnification of Board Members

Yes No

* 12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?

Yes No

* 13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?

Yes No

* 14. Was a performance evaluation of the Board completed?

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Yes No

* 15. Was compensation paid by the Authority made in accordance with employee or union contracts?

Yes No

* 16. Has the Board adopted a conditional/additional compensation policy governing all employees?

Yes No

If Yes, provide the URL link to the document below:

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Erie County Water Authority (0321)
 Fiscal Year- End Date: 12/31/2011
 Status: Unsubmitted

BOARD OF DIRECTORS LIST

Enter all filled and vacant board member positions. To enter a board member, select the 'New' button. To copy previously entered data into the current reporting period for editing, select the 'Copy Forward' button.

Public Authority Board Members
3 items found, displaying all items.

Action	Last Name	First Name	Chair	Appointed by	Term Exp. Date
View Modify Delete	Jann	Earr	No	Other	04/27/2014
View Modify Delete	O'Donnell	John	No	Other	04/27/2013
View Modify Delete	Warrhling	Francis	Yes	Other	04/27/2012

- Benefit Information
- Subsidiary/Component Unit Verification
- Summary Financial Information
- Current Debt
- Real Property Acquisition/Disposal
- Personal Property Disposal
- Property Documents

Board of Directors

Governance (Authority-related)

Governance Information (Board-related)

Board of Directors

Staff

Benefit Information

Subsidiary/Component Unit Verification

Summary Financial Information

Current Debt

Real Property Acquisition/Disposal

Personal Property Disposal

Property Documents

VIEW BOARD MEMBER

Erie County Water Authority (0321)
Fiscal Year End Date: 12/31/2011
Status: Unsubmitted

Is the Board Member's position vacant? Yes No

Warthling

Is this Member the Chair of the Board? Yes No
If yes, Chair designated by:

Member's Last Name: Warthling

Francis

Nominated by:

Member's First Name: Francis

G

Appointed by:

Term Start Date: 04/27/2009

Confirmed by Senator? Yes No N/A

Term Expiration Date (choose one): 04/27/2013

* Complied with training requirement of Section 2824? Yes No

Serves at Pleasure of Appointing Authority Ex-officio

* Has the board member signed the acknowledgment of fiduciary duty? Yes No

* Does the board member also hold an elected or appointed State government position? Yes No

* Does the board member also hold an elected or appointed municipal government position? Yes No

Has the Board member appointed a designee? Yes No

New

Modify

Cancel

- [Authority Home Page](#)
- [Budget Report](#)
- [Governance Information \(Authority-related\)](#)
- [Governance Information \(Board-related\)](#)
- [Board of Directors](#)
- [Staff](#)
- [Benefit Information](#)
- [Subsidiary/Component Unit Verification](#)
- [Summary Financial Information](#)
- [Current Debt](#)
- [Real Property Acquisition/Disposal](#)
- [Personal Property Disposal](#)
- [Property Documents](#)

VIEW BOARD MEMBER

Is the Board Member's position vacant? **Yes** **No**

Member's Last Name: **Is this Member the Chair of the Board?:** **Yes** **No**

Member's First Name:

Middle Initial:

Term Start Date:

Term Expiration Date (choose one):

Serves at Pleasure of Appointing Authority
Ex-officio

If yes, Chair designated by:

Nominated by:

Appointed by:

Confirmed by Senate?: **Yes** **No** **N/A**

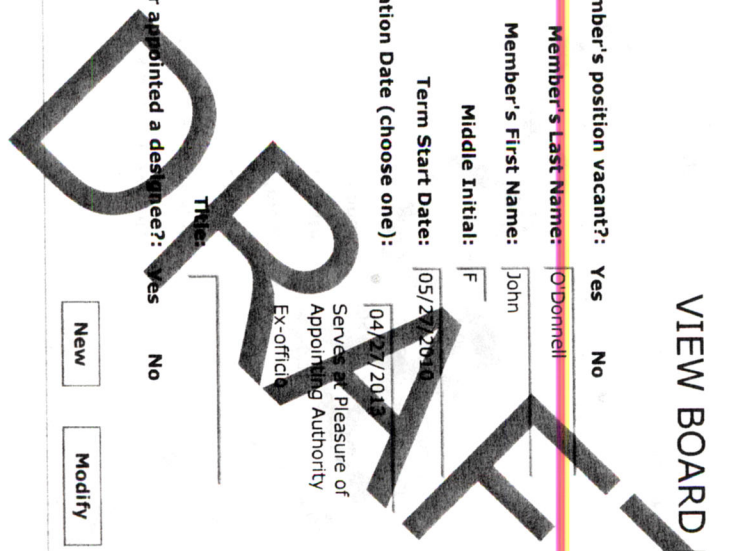
*Complied with training requirement of Section 2824?: **Yes** **No**

* Has the board member signed the acknowledgement of fiduciary duty?: **Yes** **No**

* Does the board member also hold an elected or appointed State government position?: **Yes** **No**

* Does the board member also hold an elected or appointed municipal government position?: **Yes** **No**

Has the Board member appointed a designee?: **Yes** **No**



Erie County Water Authority (0321)
Fiscal Year End Date: 12/31/2011
Status: Unsubmitted

VIEW BOARD MEMBER

Is the Board Member's position vacant? Yes No

Member's Last Name:

Member's First Name:

Middle Initial:

Term Start Date:

Term Expiration Date (choose one):

Serves at Pleasure of Appointing Authority
Ex-officio

Is this Member the Chair of the Board? Yes No

If Yes, Chair designated by:

Nominated by:

Appointed by:

Confirmed by Senate? Yes No N/A

* Complied with training requirement of Section 2824? Yes No

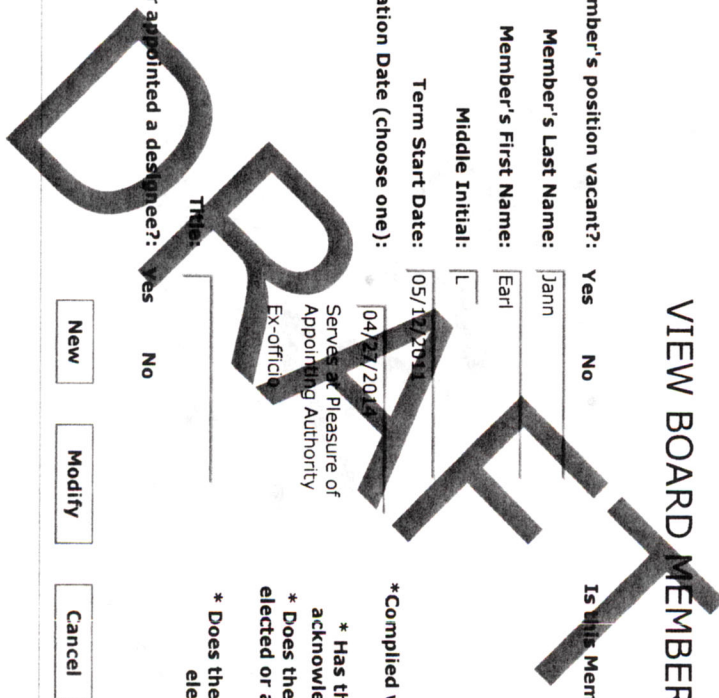
* Has the board member signed the acknowledgement of fiduciary duty? Yes No

* Does the board member also hold an elected or appointed State government position? Yes No

* Does the board member also hold an elected or appointed municipal government position? Yes No

Has the Board member appointed a designee? Yes No

Title:



SEARCH STAFF

Enter all staff of the Authority. To enter a staff member, select the 'New' button. To copy previously entered data into the current reporting period for editing, select the 'Copy Forward' button. To indicate that the Authority has no staff, select the 'No Staff' button.

To view a list of all staff, enter the wildcard ("?" in the 'Last Name' or 'First Name' fields, then select 'Submit'. To conduct a partial name search, you must also include the wildcard. For example, to retrieve a list of all staff members whose last name contains the letter "s", you would enter "?s?" in the 'Last Name' field. Any combination of search criteria can be entered to conduct the search. All search results are sorted by 'Last Name' in ascending order.

Last Name:
 First Name:
 Group:
 Annualized Salary Range: \$ to \$
 Total Compensation Range: \$ to \$

Search Results

No items found.

Action	Last Name	First Name	Title	Exempt	Group	Annualized Salary	Total Compensation
No items found.							

[Click here for definitions](#)

Unit Name	Fund Name	Model - Title	Group	Department / Subunit	Union Name	Beginning Unit	Full	Base	Annualized	Fiscal	Salary	Performance	2022	Pay	Other	Compensation/Allowance	and/or	paid by	State	or	Local	Government?
						Pay	Time	Rate	Salary	Period	Rating	Points	Pay	Adjustments	Value	of the	Authority?					
HERBET	DRB&K	CLSTOR SRVCE REPRESENTATIVE	Administrative and Clerical			PT	Y	14517.63	15438.14	0.00	0.00	0.00	1051.41	0.00	0.00	0.00	N					
HERBET	SALUSON	ASSOCIATE STRONG MFT	Operational			PT	Y	15800.00	15800.00	0.00	0.00	0.00	4139.44	0.00	0.00	0.00	N					
HERBET	ADRE	CONTROL OPERATOR	Operational			PT	Y	51792.00	50527.00	0.00	0.00	0.00	1015.00	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	24524.00	18097.10	8108.11	0.00	0.00	3282.12	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	45797.80	43892.38	3483.76	0.00	0.00	3811.92	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	63551.60	63551.60	1412.75	0.00	0.00	2121.42	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	54509.77	54509.77	0.00	0.00	0.00	0.00	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	56686.90	56686.90	0.00	0.00	0.00	0.00	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	46091.04	46091.04	66.00	0.00	0.00	3202.44	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	47371.60	46913.60	1399.00	0.00	0.00	1616.30	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	23500.00	23500.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	47678.40	42482.41	4027.38	0.00	0.00	2925.72	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	41551.00	39962.21	4443.28	0.00	0.00	2543.14	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	46716.80	42109.60	4402.21	0.00	0.00	3242.84	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	46222.08	46088.59	3420.16	0.00	0.00	3242.84	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	57104.00	57104.00	1915.11	0.00	0.00	1231.94	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	1961.51	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
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HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1922.65	0.00	0.00	0.00	N					
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HERBET	HERBET	WATER SERVICE WORKER	Operational			PT	Y	44013.60	44013.60	2162.27	0.00	0.00	1									

Benefits

BENEFITS LIST

The tables below display benefits for all Board Members and for staff whose annualized salary is greater than \$100,000. To enter or modify this information, and to answer the question at the bottom of the page, select "Modify."

The intent of this screen is to capture information on:

- Any benefit available to board members.
- Extraordinary benefits available to staff earning over \$100,000 in annualized salary by virtue of their position.

An extraordinary benefit should only be reported if it is provided for the exclusive use of a staff member. For example, you should report:

- A car assigned to a staff member for personal use.
- A financial package provided at retirement or the end of a contract that exceeds the normal conversion of unused vacation time or
- Some other benefit that is not also available to rank and file staff.

Do not report benefits that are equally available to all staff. For example, you should not report:

- Staff use of a credit card for business travel.
- Access to a fleet vehicle owned by the authority and available to all staff for business use only, or
- The right of all staff to convert unused vacation time as a condition of employment.

Modify

BOARD MEMBERS

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Automobile	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment Contract	None of These Benefits
Jann, Earl L	Board of Directors	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All
O'Donnell, John F	Board of Directors												
Warthing, Francis G	Board of Directors	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All

STAFF

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Automobile	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment Contract	None of These Benefits
86													

BAUDO, MATTHEW J	SECRETARY TO THE AUTHORITY / PERSONNEL DIRECTOR	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All
DUST, WESLEY C	EXECUTIVE ENGINEER																		
FUZAK, MARK J	ATTORNEY																		
KUWIK, EDWARD J	SENIOR DISTRIBUTION ENGINEER																		
LICHTENTHAL JR, ROBERT J	DEPUTY DIRECTOR																		
LISINSKI, JAMES R	DIRECTOR OF EMPLOYEE RELATIONS																		
MENDEZ, ROBERT A	EXECUTIVE DIRECTOR																		
MOGAVERO, JOHN J	CHEMIST & CHIEF WATER TREATMENT PLANT OPERATOR																		
NIEDERRUEM JR, ROBERT A	SENIOR PRODUCTION ENGINEER																		
PRENDERGAST, KAREN A	COMPTROLLER																		
RIESTER, PAUL H	DIRECTOR OF ADMINISTRATION																		
RINALDO, SUSAN L	CASH MANAGER																		
ROSENBERRY, RICHARD M	SENIOR DISTRIBUTION ENGINEER																		
WHITTAM, PAUL J	DIRECTOR OF DRINKING WATER QUALITY (ECWA)																		
		Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All	Select All

4/5/12

* During the fiscal year, did the authority continue to pay for any of the above mentioned benefits for former staff or individuals affiliated with the authority after those individuals left the authority?
Yes **No**

Modify

DRAFT

Subsidiary Verification

Governance Information (Authority-related)

Governance Information (Board-related)

Board of Directors

Staff

Benefit Information

Subsidiary/Component Unit Verification

Summary Financial Information

Current Debt

Real Property Acquisition/Disposal

Personal Property Disposal

Property Documents

SUBSIDIARY/COMPONENT UNIT LIST

Erie County Water Authority
Fiscal Year End Date
Status

This list should include only those subsidiaries and component units that are active and whose information is included in the PARIS reports certified Authority.

*Is this list accurate and complete?

Yes No

If an entity needs to be removed from the list, select the 'Delete Subsidiaries/component units' button. If an entity needs to be added to the list, select the 'Add Subsidiaries/component units' button. If the name of an entity currently in the list is incorrect, use the 'Requested Changes' column to enter modifications.

*Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this Authority and independently filing reports in PARIS?

Yes No

Be aware that changes will not be immediately reflected in the list. Requested changes will be reviewed by the Office of the State Comptroller and the Budget Office, and will be reflected in the list for the next reporting period.

Add Subsidiaries/Component Units

Delete Subsidiaries/Component Units

Save

No items found.

Name of Subsidiary/Component Unit	Status	Requested Changes
-----------------------------------	--------	-------------------

Summary Financial Information

Erie County Water Authority (0321)
Fiscal Year End Date: 12/31/2011
Status: Unsubmitted

- [Governance Information \(Authority-related\)](#)
- [Governance Information \(Board-related\)](#)
- [Board of Directors](#)
- [Staff](#)
- [Benefit Information](#)
- [Subsidiary/Component Unit Verification](#)
- [Summary Financial Information](#)
- [Current Debt](#)
- [Real Property Acquisition/Disposal](#)
- [Personal Property Disposal](#)
- [Property Documents](#)

SUMMARY FINANCIAL INFORMATION

SUMMARY STATEMENT OF NET ASSETS

[Modify](#) [Delete](#)

Assets	
Current Assets	
Cash and cash equivalents	\$19,882,185.00
Investments	0.00
Receivables, net	4,285,295.00
Other assets	9,391,605.00
Total Current Assets	33,559,085.00
Noncurrent Assets	
Restricted cash and investments	21,943,712.00
Long-term receivables, net	0.00
Other assets	549,983.00
Capital Assets	
Land and other nondepreciable property	6,067,555.00
Buildings and equipment	297,631,447.00
Infrastructure	254,802,948.00
Accumulated depreciation	211,330,228.00
Net capital assets	347,171,722.00
Total Noncurrent Assets	369,665,417.00
Total Assets	403,224,502.00

Liabilities
Current Liabilities

Accounts payable	4,704,738.00
Pension contribution payable	0.00
Other post-employment benefits	0.00
Accrued liabilities	4,431,611.00
Deferred revenues	0.00
Bonds and notes payable	6,052,479.00
Other long-term obligations due within one year	1,117,077.00
Total Current Liabilities	16,305,905.00
Noncurrent Liabilities	0.00
Pension contribution payable	17,830,816.00
Other post-employment benefits	77,590,287.00
Bonds and notes payable	0.00
Long term leases	1,761,708.00
Other long-term obligations	97,182,811.00
Total Noncurrent Liabilities	97,182,811.00
Total Liabilities	113,488,716.00

Net Asset (Deficit)

Net Assets	
Invested in capital assets, net of related debt	259,274,082.00
Restricted	11,250,168.00
Unrestricted	19,211,536.00
Total Net Assets	\$289,735,786.00

SUMMARY STATEMENT OF REVENUES, EXPENSES AND CHANGE IN NET ASSETS

Operating Revenues	
Charges for services	\$58,956,132.00
Rental & financing income	487,231.00
Other operating revenues	85,940.00
Total Operating Revenue	59,529,303.00
Operating Expenses	
Salaries and wages	14,672,426.00
Other employee benefits	12,179,439.00
Professional services contracts	140,989.00
Supplies and materials	3,223,640.00
Depreciation & amortization	11,941,851.00

Other operating expenses	8,184,825.00
Total Operating Expenses	50,343,170.00
Operating Income (Loss)	9,186,133.00
Nonoperating Revenues	
Investment earnings	458,260.00
State subsidies/grants	0.00
Federal subsidies/grants	0.00
Municipal subsidies/grants	0.00
Public authority subsidies	0.00
Other nonoperating revenues	174,315.00
Total Nonoperating Revenue	632,575.00
Nonoperating Expenses	
Interest and other financing charges	3,865,205.00
Subsidies to other public authorities	0.00
Grants and donations	0.00
Other nonoperating expenses	0.00
Total Nonoperating Expenses	3,865,205.00
Income (Loss) Before Contributions	5,953,503.00
Capital Contributions	985,232.00
Change in net assets	6,938,735.00
Net assets (deficit) Beginning of year	282,797,051.00
Other net assets changes	0.00
Net assets (deficit) at end of year	\$289,735,786.00

[Click here for definitions](#)

CURRENT DEBT

* Required Field

- Subsidiary/Component
- Unit Verification
- Summary Financial Information
- Current Debt
- New Debt Issuances
- Schedule of Debt
- Real Property Acquisition/Disposal
- Personal Property Disposal
- Property Documents

If both questions below are answered "No," select "Save" and exit the Current Debt function.

If Question 1 is "Yes" and Question 2 is "No," select "Save" and then select the "Schedule of Debt" link and complete the schedule of debt function.

If both questions are answered "Yes," select "Save," then select the "New Debt Issuances" link to complete the new debt function, and then select the "Schedule of Debt" link and complete the schedule of debt function.

*1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?

Yes No

2. If yes, has the Authority issued any debt during the reporting period?

Yes No

Save

Governance Information

(Authority-related)

Governance Information

(Board-related)

Board of Directors

Staff

Benefit Information

Subsidiary/Component

Unit Verification

Summary Financial

Information

Current Debt

New Debt Issuances

Schedule of Debt

Real Property Acquisition/Disposal

Personal Property Disposal

Property Documents

New Debt Issuances

NEW DEBT ISSUANCES LIST

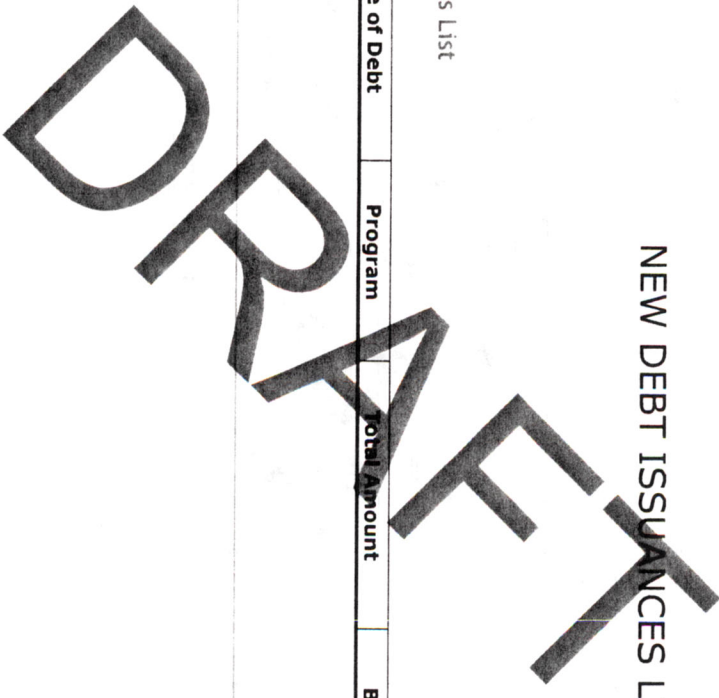
Erie County Water Authority (0321)
Fiscal Year End Date: 12/31/2011
Status: Unsubmitted

New Debt Issuances List

No items found.

Action	Type of Debt	Program	Total Amount	Bond Closing Date	Project Name
--------	--------------	---------	--------------	-------------------	--------------

[Click here for definitions](#)



Schedule of Debt

Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

SCHEDULE OF DEBT

- Staff
- Board of Directors
- Governance Information (Board-related)
- Governance Information (Authority-related)
- Budget Report
- Authority Home Page
- Enrollment
- PARIS
- Subsidiary/Component Unit Verification
- Benefit Information
- Summary Financial Information
- Current Debt
- New Debt Issuances
- Schedule of Debt
- Real Property Acquisition/Disposal
- Personal Property Disposal
- Property Documents

Action	Type of Debt (1)	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
	State Obligation					
	State Guaranteed					
	State Supported					
	State Contingent Obligation					
	State Moral Obligation					
	Other State Funded					
	Authority Obligation					
	General Obligation					
View	Revenue	0.00	91,900,000.00	0.00	6,215,000.00	85,685,000.00
	Other Non-State Funded					
	Conduit					
	Conduit Debt					
	Conduit Debt - Pilot Increment Financing					
	Total:	0.00	91,900,000.00	0.00	6,215,000.00	85,685,000.00

(1) Do not report First Instance Advances/Appropriated Loans here.

[Click here for definitions](#)

- [Budget Report](#)
- [Governance Information \(Authority-related\)](#)
- [Governance Information \(Board-related\)](#)
- [Board of Directors](#)
- [Staff](#)
- [Benefit Information](#)
- [Subsidiary/Component Unit Verification](#)
- [Summary Financial Information](#)
- [Current Debt](#)
- [Real Property Acquisition/Disposal](#)
- [Personal Property Disposal](#)
- [Property Documents](#)

Real Property Acquisition/Disposal

Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

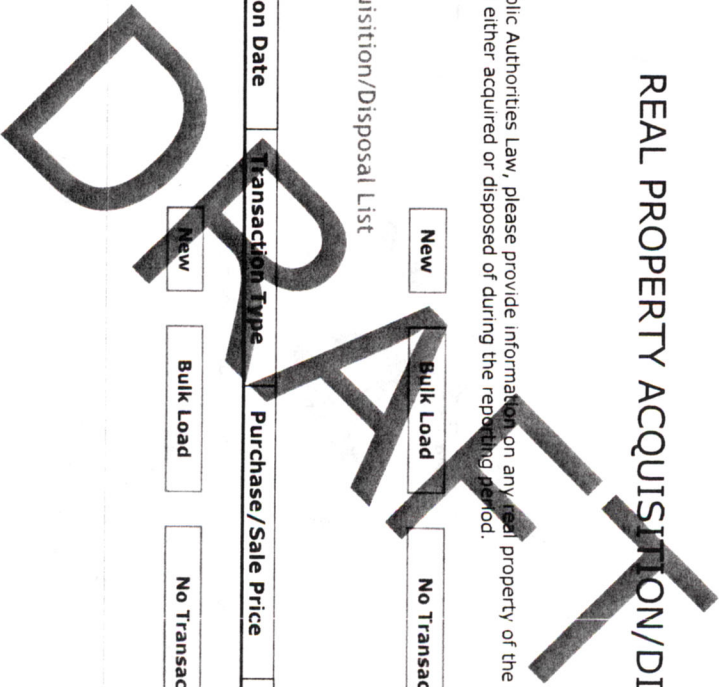
REAL PROPERTY ACQUISITION/DISPOSAL LIST

In accordance with the Public Authorities Law, please provide information on any real property of the authority having an estimated fair market value in excess of \$15,000 that the authority either acquired or disposed of during the reporting period.

Real Property Acquisition/Disposal List

No items found.

Action	Transaction Date	Transaction Type	Purchase/Sale Price	Property Address	City	Description
		<input type="button" value="New"/>	<input type="button" value="Bulk Load"/>	<input type="button" value="No Transactions"/>		



PERSONAL PROPERTY DISPOSAL LIST

In accordance with the Public Authorities Law, please provide information on any personal property of the authority having an estimated fair market value in excess of \$5,000 that the authority disposed of during the reporting period.

Personal Property Disposal List
4 items found, displaying all items.

Action	Transaction Date	Sale Price	Property Description
View Modify Delete	10/18/2011	\$28,000.00	Case 580 Super MTLB Backhoe
View Modify Delete	10/18/2011	\$8,750.00	2001 Internation Truck & Engine Corp Dump Truck
View Modify Delete	10/18/2011	\$7,000.00	1999 Ford F350 XL
View Modify Delete	10/18/2011	\$6,000.00	2002 Ford F350

- Summary Financial Information
- Current Debt
- Real Property Acquisition/Disposal
- Personal Property Disposal
- Property Documents

Property Documents

Governance Information (Authority-related)

Governance Information (Board-related)

Board of Directors Staff

Benefit Information

Subsidiary/Component Unit Verification

Summary Financial Information

Current Debt

Real Property Acquisition/Disposal

Personal Property Disposal

Property Documents

Erie County Water Authority(0321)

Fiscal Year End Date: 12/31/2011

Status: Unsubmitted

VIEW PROPERTY DOCUMENTS

1. In accordance with Section 2896(3) of PAL, the authority is required to prepare a report at least annually of all real property of the authority. Has this report been prepared?

Yes No

If Yes, provide the URL link to the document below:

2. Has the authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property?

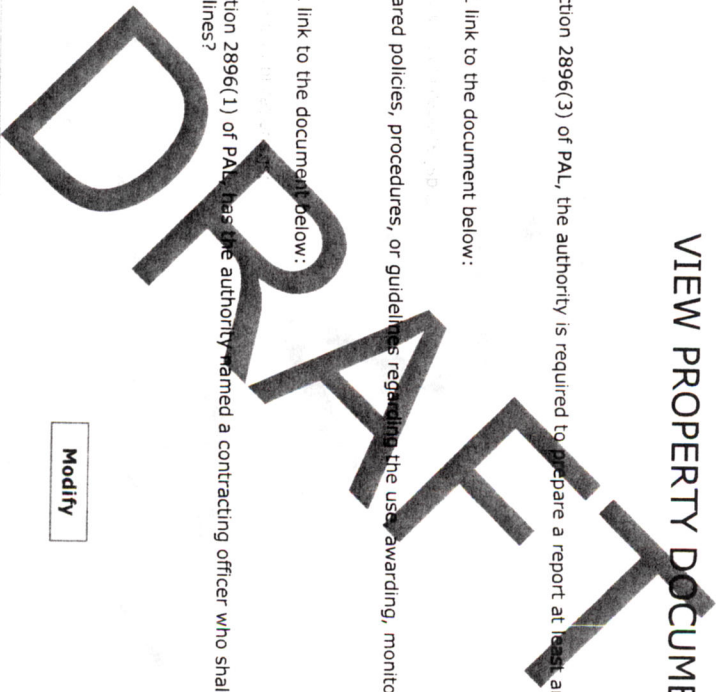
Yes No

If Yes, provide the URL link to the document below:

3. In accordance with Section 2896(1) of PAL, has the authority named a contracting officer who shall be responsible for the authority's compliance with and enforcement of such guidelines?

Yes No

Modify



Procurement Report

Instructions

Sections 2879 and 2824(e) of the Public Authorities Law require public authorities to adopt and annually review and approve comprehensive procurement guidelines and reports. To enter this information, select from the menu on the left.

The required information can be entered and saved, but the authority is not considered to be in compliance until the CFO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate. To submit this information, select and complete the Procurement Report Submittal link.

DRAFT

Procurement Transactions

?

Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

SEARCH PROCUREMENT TRANSACTIONS

Enter all procurement transactions open during the reporting period with an actual or estimated value of \$5,000 or more. To enter a procurement transaction, select the "New" button. To copy previously entered data into the current reporting period for editing, select the "Copy Forward" button. To indicate that the authority has no open procurement transactions, select the "No Transactions" button.

To view a list of all procurement transactions, enter the wildcard ("*") in the "Vendor Name" field, then select "Submit". To conduct a partial name search, you must also include the wildcard. For example, to retrieve a list of all vendors whose name contains the letter "s", you would enter "*s*" in the "Vendor Name" field. Any combination of search criteria can be entered to conduct the search. The search results will be sorted by "Vendor Name" in ascending order.

Only report "Non Contract Procurement/Purchase Order" and "Purchased Under State Contract" transactions if all purchases made from a single vendor total \$5,000 or more during the reporting period. These purchases should be reported as a single transaction for the total amount, not as individual transactions.

Vendor Name: **Amount Minimum: \$** **Amount Maximum: \$**
Award Date From: **Award Date To:**

Search Results

No items found.

Action	Vendor Name	Amount	Award Date
<input type="button" value="Submit"/>	<input type="button" value="New"/>	<input type="button" value="Reset"/>	<input type="button" value="Bulk Load"/>
<input type="button" value="Copy Forward"/>	<input type="button" value="No Transactions"/>	<input type="button" value="Submit"/>	<input type="button" value="New"/>

VIEW PROCUREMENT INFORMATION

Current Document List

No items found.

Action	Document Name	Document Type	Date Attached
--------	---------------	---------------	---------------

Procurement Guidelines

1. Does the Authority have procurement guidelines?

Yes No

2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?

Yes No

3. Does the Authority allow for exceptions to the procurement guidelines?

Yes No

* 4. Does the Authority assign credit cards to employees for travel and/or business purchases?

Yes No

* 5. Does the Authority require prospective bidders to sign a non-collusion agreement?

Yes No

* 6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents, or specifications for procurement contracts?

Yes No

* 7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(g) of the State Finance Law, "The Procurement Lobbying Act"?

Yes No

Impermissible Contacts

* 8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law?

Yes No

If Yes, was a record made of this impermissible contact?

Yes No

* 9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?

Yes No

Modify

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DRAFT

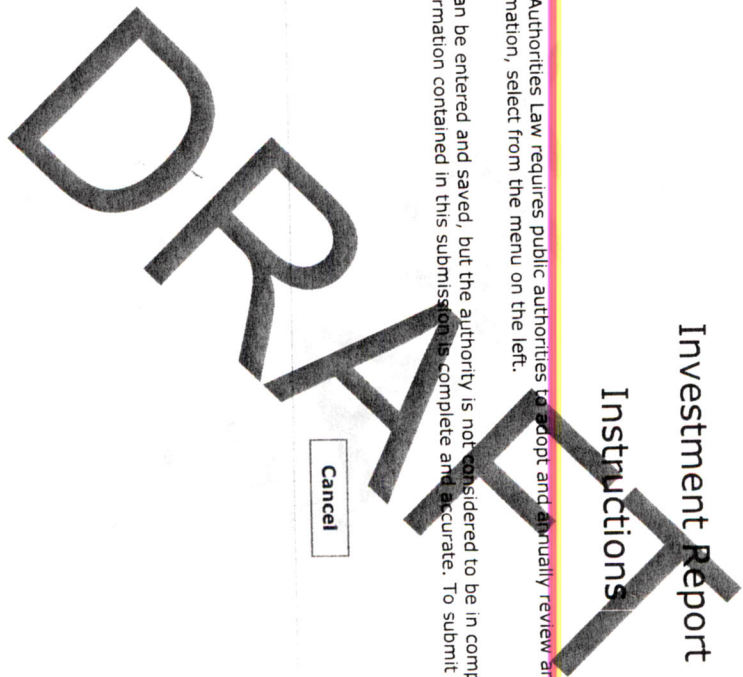
Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

Investment Report Instructions

Section 2925 of the Public Authorities Law requires public authorities to adopt and annually review and approve comprehensive investment guidelines and reports. To enter this information, select from the menu on the left.

The required information can be entered and saved, but the authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate. To submit this information, select and complete the Investment Report Submittal link.

[Cancel](#)



Erie County Water Authority (0321)
Fiscal Year End Date: 12/31/2011
Status: Unsubmitted

VIEW INVESTMENT INFORMATION

Annual Investment Report

* 1. Has the authority prepared an Annual Investment Report for the reporting period as required by section 2925(6) of PAL?

Yes No

If Yes, provide the URL link to the document below:

Investment Guidelines

* 2. Are the authority's investment guidelines reviewed and approved annually?

Yes No

Investment Audit Report

* 3. Did the authority have an independent audit of investments as required by Section 2925(3)(f) of PAL?

Yes No

Management Letter

* 4. Has the authority's independent auditor issued a management letter to the authority in connection with its annual audit of investments?

Yes No

Modify

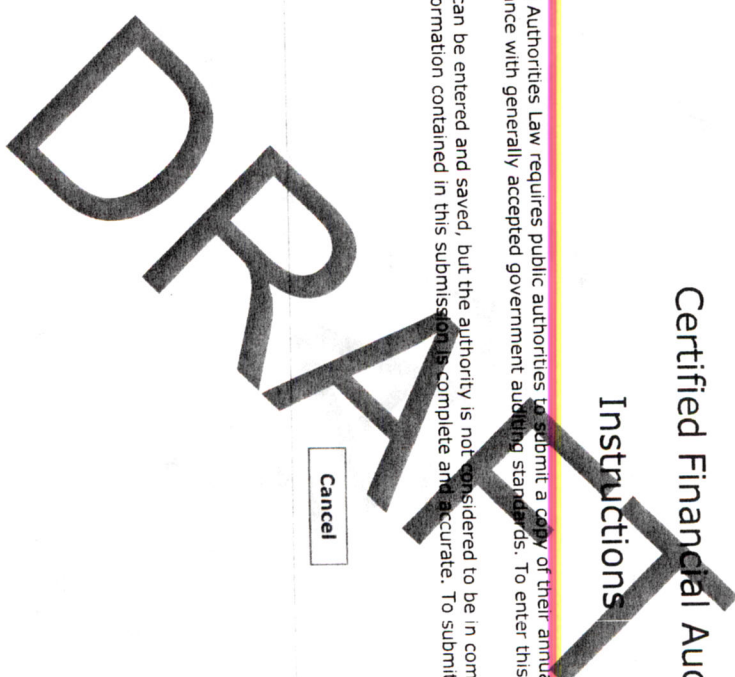
Erie County Water Authority (0321)
 Fiscal Year End Date: 12/31/2011
 Status: Unsubmitted

Certified Financial Audit Instructions

Section 2802 of the Public Authorities Law requires public authorities to submit a copy of their annual independent audit report, performed by a certified public accounting firm in accordance with generally accepted government auditing standards. To enter this information, select from the menu on the left.

The required information can be entered and saved, but the authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate. To submit this information, select and complete the Certified Financial Audit Submittal link.

[Cancel](#)



VIEW FINANCIAL DOCUMENTS

Financial Documents was created successfully.

Current Document List
4 items found, displaying all items.

Action	Document Name	Document Type	Date Attached	URL
View	2011 Statements - Final.pdf	Internal Controls	04/02/2012	http://www.ecwa.org/web/publications.jsp
View	2011 Statements - Final.pdf	Audit Report	04/02/2012	http://www.ecwa.org/web/publications.jsp
View	Management letter - Final PDF .pdf	Management Letter	04/02/2012	http://www.ecwa.org/web/publications.jsp
View	SAS 114 letter - Final PDF .pdf	Additional Communications	04/02/2012	

- * 1. Attach the independent audit of the authority's financial statements.
 Yes No
- * 2. Has the authority's independent auditor issued a management letter to the authority in connection with its audit of the authority's financial statements?
 Yes No
- * 3. Has the authority's independent auditor issued a Report on Internal Controls Over Financial Reporting to the authority?
 Yes No

4. Attach any additional communication required or allowed by government auditing standards issued by the Comptroller General of the United States to be issued by the authority's independent auditor in connection with its annual audit of the authority's financial statements.

[Modify](#)

